

Docket No. AAI-002

DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

As below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name, and

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed for and for which a patent is sought on the invention entitled

A POINT-OF-SALE COMMERCIAL TRANSACTION PROCESSING SYSTEM USING ARTIFICIAL INTELLIGENCE ASSISTED BY HUMAN INTERVENTION , the specification of which

[X] is attached hereto.

[ ] was filed on \_\_\_\_\_

as application Serial Number \_\_\_\_\_

and was amended on (if applicable) \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I verify that I am qualified as an independent inventor under Title 37, Code of Federal Regulations, Section 1.9(c), and my obligation to assign rights to this invention, if any, is to a qualified small business concern under Title 37, Code of Federal Regulations, Section 1.9(d).

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

(Number) \_\_\_\_\_ (Country) \_\_\_\_\_     /    /     [ ] YES [ ] NO  
D/M/YR FILED

(Number) (Country)     /    /     [ ] YES [ ] NO  
D/M/YR FILED

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I

acknowledge the [redacted] to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Ser. No) (Filing Date) (Status-Patented, pending, abandoned)

(Application Ser. No) (Filing Date) (Status-Patented, pending, abandoned)

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

David P. Gordon (29,996), David S. Jacobson (39,235), Thomas A. Gallagher (31,358)

Address all telephone calls to David P. Gordon at (203) 329-1160  
Address all correspondence to David P. Gordon, Esq.  
65 Woods End Road  
Stamford, Connecticut 06905  
U.S.A.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**SOLE OR FIRST INVENTOR**

Signature Kevin E. Mahaffy Date 6 SEP 2000

Full Name Kevin E. Mahaffy

Residence 897 East Country View Circle, Fresno, CA 93720

Citizenship US

P.O. Address Same as address

**SECOND INVENTOR**

Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name David B. Mahaffy

Residence 414 East Feather River Drive, Fresno, CA 93720

Citizenship US

P.O. Address Same as address

003060-6745960



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**STATEMENT CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(c) - SMALL BUSINESS CONCERN**

I hereby state that I am ☐ the owner of the small business concern identified below  
☒ an official of the small business concern empowered to act on behalf of the  
 concern identified below:

**NAME OF CONCERN:** agentAI, Inc.  
**ADDRESS OF CONCERN:** 863 E. Country View Circle  
Fresno, CA 93720

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9 (d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled: **A POINT-OF-SALE COMMERCIAL TRANSACTION PROCESSING SYSTEM USING ARTIFICIAL INTELLIGENCE ASSISTED BY HUMAN INTERVENTION**

by inventor(s): **Kevin E. Mahaffy, David B. Mahaffy and Eric E. Schmidt**  
 described in ☒ the specification filed herewith  
☐ application serial No. , filed  
☐ patent No. , issued

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*Note: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

**NAME:**  
**ADDRESS:**

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby state that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this statement is directed.

**NAME OF PERSON SIGNING:** Kevin E. Mahaffy  
**TITLE IN ORGANIZATION:** President  
**ADDRESS OF PERSON SIGNING:** 897 E. Country View Circle, Fresno, CA 93720

**SIGNATURE:** Kevin E. Mahaffy **DATE:** 6 SEP 2000

Docket No. AAI-002

STATEMENT CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(b)) - **INDEPENDENT INVENTOR**

As a below named inventor, I hereby state that I am an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled:

**A POINT-OF-SALE COMMERCIAL TRANSACTION PROCESSING SYSTEM USING  
ARTIFICIAL INTELLIGENCE ASSISTED BY HUMAN INTERVENTION**

described in ☒ the specification filed herewith  
☐ application serial No. , filed  
☐ patent No. , issued

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey or license any rights in the invention is listed below:

☐ no such person, concern, or organization  
☒ persons, concerns or organizations listed below\*

\*Note: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

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NAME OF INVENTOR Kevin E. Mahaffy

SIGNATURE Kevin E. Mahaffy

DATE 6 SEP 2000

NAME OF INVENTOR Eric E. Schmidt

SIGNATURE E. Schmidt

DATE 6 SEP 00

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Priority Claimed

\_\_\_\_\_/\_\_\_\_/\_\_\_\_ [ ] YES [ ] NO  
(Number) (Country) D/M/YR FILED

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_ [ ] YES [ ] NO  
(Number) (Country) D/M/YR FILED

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[illegible][illegible]

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Residence 897 East Country View Circle, Fresno, CA 93720

Citizenship US

P.O. Address Same as address

**SECOND INVENTOR**

Signature David B. Mahaffey Date 9/7/00  
Full Name David B. Mahaffey

Full Name David B. Mahaffy *DM*

Residence 414 East Feather River Drive, Fresno, CA 93720

Citizenship US

P.O. Address Same as address





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NAME OF INVENTOR David B. Mahaffy

SIGNATURE

David B. Mahaffy

DATE

9/7/00